

CENTERS FOR DISEASE CONTROL AND PREVENTION

BROAD AGENCY ANNOUNCEMENT

2016-N-17770

**PUBLIC HEALTH EMERGENCY PREPAREDNESS AND RESPONSE
APPLIED RESEARCH (PHEPRAR)**

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PART I - INTRODUCTION

This Broad Agency Announcement (BAA) seeks proposals to conduct innovative research to improve the ability of Centers for Disease Control and Prevention (CDC) and its partners, including state and local health departments, emergency management organizations, and health care entities, to effectively prepare for and respond to public health emergencies and disasters. CDC, Office of Public Health Preparedness and Response (OPHPR) anticipates that the knowledge resulting from awards made under this announcement will contribute significantly to the evidence base for preparedness and response and lead to improved efficiency, effectiveness, and outcomes in several domains.

This BAA will utilize contracts as the instrument of funding. The Government shall decide on the type of contract awarded based on Offerors' proposals. The Government will consider proposals for firm-fixed price, cost-plus-fixed fee, and time & materials contracts.

General Aims

This BAA is a competitive approach to consider proposals that harness scientific research and innovation to enhance preparedness for, response to (and ultimately recovery from) public health emergencies and disasters, allowing CDC to:

1. Identify potential funding recipients with recognized expertise in relevant areas or capability to develop and execute promising scientific approaches, and
2. Encourage synergies through collaboration across research and practice entities (e.g. through subcontracting or informal partnerships), and
3. Collaborate scientifically with funding recipients, depending on the interests of the Government, the availability of CDC science staff, and the nature of the project.

CDC is particularly interested in new applications of science, technologies, and innovations that provide the best value to the Government and have the potential to substantially contribute to CDC's goals as described in this BAA.

Authority

CDC issues this BAA under the provisions of Federal Acquisition Regulations 35.016 and 6.102(d)(2), which provide for solicitation of proposals and the acquisition of basic and applied research and that part of development not related to the development of a specific system or hardware procurement. The use of the BAA mechanism to solicit proposals is authorized under 48 CFR 35.016. Contracts that are awarded based on responses to this BAA are the result of full and open competition and therefore, in full compliance with the provisions of PL 98-369, "The Competition in Contracting Act of 1984."

Specific Rights Reserved for the Government

This BAA reserves specific rights for the Government, in addition to rights described elsewhere in this document or by law or regulation, including:

1. The right to select for negotiation and award all, some, one, or none of the proposals received in response to this solicitation.
2. The right to make awards without discussions, or to conduct discussions and/or negotiations, whichever is determined to be in the Government's interest.
3. The right to accept proposals in their entirety or to select only portions of proposals for award.

4. The right to co-create projects with one or more submitters under this BAA, when it is in the best interest of the Government.
5. The right to request any additional, necessary documentation upon initial review. Such additional information may include, but is not limited to: a further detailed proposal, budget, and representations and certifications.
6. The right to remove proposers from award consideration should the parties fail to reach agreement on award terms, conditions, and cost/price within a reasonable time, the Offeror fails to timely provide requested additional information, or the Government believes it is in its best interest.

Overview of Award Process

Offerors contemplating submission of a proposal under this BAA will follow a four step process:

Step 1 – Electronic Contact - OPTIONAL

Potential Offerors interested in responding to the BAA may (*but are not required to*) contact CDC by email to the Contracting Officer specified in this announcement with questions regarding concept paper submission or other aspects of the acquisition process. If necessary to address the Offeror's questions, the Contracting Officer will seek input from the CDC scientific coordinator for this BAA.

Step 2 – Submission of Concept Paper (Technical Dialogue)

Potential Offerors interested in submission of a proposal must first submit a concept paper. This step is a continuation of technical dialogue. Concept papers will be limited to 4 pages in length (exclusive of resumes, bios, and references) and are aimed at facilitating an understanding of the scientific and technical aspects of the proposed research project. The concept paper is used to determine whether the concept is of sufficient technical merit and relevance to the Government's programmatic needs prior to submission of a formal proposal. Concept papers should contain a Rough Order of Magnitude estimate (Estimated Cost). The BAA Scientific Coordinator or his/her designated technical point of contacts in the agency may reach back to the Offeror, if the Government deems it necessary to clarify or discuss scientific or technical aspects of the concept paper. The Contracting Officer will assist in this process as needed.

The Government assumes no obligation to the Offeror to continue technical dialogue following its request for, or receipt of concept papers. The Government reserves the right to reject any concept paper without comment. Similarly, receipt of a concept paper does not constitute an obligation or agreement by the Government to request submission of a formal research proposal from an Offeror.

Step 3 - Submission of Formal Research Proposal

This step ends the technical dialogue. If there is sufficient interest by the Government in a proposed project based on the concept paper, the Contracting Officer will invite the Offeror to submit a formal research proposal. The decision to solicit a formal proposal from an Offeror is strictly at the discretion of the Government. The Government may solicit any number of proposals or may opt to solicit none.

Once the Contracting Office receives a formal research proposal, communication between scientific and programmatic personnel and the Offeror is permitted only as authorized by the Contracting Officer.

Step 4 - Contract Award for Selected Projects

Formal proposals will undergo initial review by agency Contracting Officer and those that meet the requirements specified in this BAA will be formally evaluated. The primary basis for selecting proposals for award is primarily

scientific/technical merit, feasibility of implementation and prior experience. Cost realism, reasonableness and fund availability will also be considered to the extent appropriate. The Contracting Officer will notify the Offeror, in writing, whether a proposal will be processed for award.

Issuance of this BAA does not constitute an award commitment on the part of CDC, nor does it commit CDC or any potential funding partners to pay for costs incurred in the preparation and submission of proposals. Further, CDC reserves the right to reject any or all proposals received.

Government obligation

Offerors are cautioned that the submission of a white paper and a proposal is strictly voluntary. **The Government is under no obligation to pay for any cost associated with a white paper or proposal.** Offerors submitting white papers and proposals are cautioned that only a Contracting Officer may obligate the Government to any agreement involving expenditure of Government funds. **There is no commitment on behalf of the Government to fund any proposal received under this Announcement.**

PART II – RESEARCH AREAS OF INTEREST AND ELIGIBILITY

CDC RESEARCH INTERESTS

The Government's research areas of interest for this announcement are listed within six broad categories below. Specific topics are expressed as general questions within the category. Offerors may address any single "bulleted" topic within a category **or** may address *multiple topics in a category* **if** they can be feasibly addressed within the proposed project. Offerors are expected to further develop the selected topic(s) into well-defined research questions.

Note: As described in Part III of this announcement, an Offeror may submit **no more than two (2)** concept papers/proposals under this BAA.

1. Information Management and Risk Communications

- What approaches can improve the public health system's ability to provide information to the public that leads to appropriate preparedness and response actions?
- How do audiences use social media to stay informed and share information (including both correct information and misinformation) during public health emergencies? How does this use affect the likelihood of engaging in appropriate health protective behaviors?
- How can agencies increase compliance with public health recommendations and control measures during epidemics, following disasters, or during other adverse events?
- What are the most effective message formats for information sharing (e.g., public information, alerts, warning, notifications, etc.) for various populations such as: at-risk populations, vulnerable populations, populations that rely on oral traditions, limited English proficiency populations, and individuals without Internet access or smart phones?

2. Surge Management

- How can existing state and local infrastructure be improved to address mental health issues and needs, both during emergencies and through sustained service delivery after an event, for states and localities that lack sufficient infrastructure?
- How can preparedness and medical surge capacity be ensured in rural, isolated, or health professional shortage areas?
- What are the most effective strategies or systems (e.g., coalitions, standards of care, regional planning) for facilitating collaboration and communication across agencies that support medical surge and mass care operations and activities?
- How can pediatric, chronic disease, and bariatric support and expertise be applied to medical support, sheltering, and evacuation activities?

3. Biosurveillance

- What are the most effective processes and protocols for interjurisdictional (e.g., across states, localities) epidemiological investigation during an emergency event?
- What are the most effective practices, procedures, and strategies for isolation and quarantine and infection control?

4. Countermeasures and Mitigation

- What approaches are most effective in decreasing the amount of time required to distribute and dispense medical countermeasures while maximizing population coverage during a public health emergency, for oral, injectable, and IV countermeasures?
- What are the most effective strategies for medical countermeasure apportionment and collaboration to manage dispensing points and timely dispensing to the identified populations?
- What methods should be implemented to improve public health workforce competencies related to medical countermeasures distribution and dispensing?

5. Incident Management

- What are best practices for training and exercising staff and first responders on emergency response and emergency operations communication when their usual roles are not in preparedness/response?
- What are the most effective elements to successful Continuity of Operations (COOP) implementation for health departments?
- How can use of social media in disaster management increase the effectiveness of digital surveillance during an adverse public health event?

6. Community/Systems Resilience and Cross Cutting Issues

- How can day-to-day public health services be maintained during an emergency response?
- How can social, behavioral, or economic principles be applied to encourage nongovernmental organizations and individuals to engage in and maintain involvement in preparedness and response related activities?
- How can systems integration between governmental public health and hospital/health care entities be ensured to enable them to effectively prepare for and respond to events together?
- What are the key political, social, and economic dimensions of public health emergency responses and are there strategies to recognize these earlier, forecast them more effectively, or otherwise incorporate these into response planning?
- Can simulation and modeling be used to test or forecast community preparedness and recovery or enhance public health operations in practical ways during or immediately following an incident?
- What is the relationship between the availability of federal, state, and local resources (e.g., funding, staffing, and equipment) and state/local public health preparedness and response?
- What methods are most effective at identifying vulnerable and at-risk populations and increasing their ability of to prepare for, withstand, and recover from public health emergencies and disasters?

WHAT WE ARE LOOKING FOR

Offerors shall take into consideration the following points and incorporate them into submissions as appropriate (these are listed in no particular order and do not need to be addressed in order):

1. Offerors shall describe their understanding of relevant scientific literature related to the research to be conducted.
2. Offerors shall develop and articulate specific research, scientific and/or technical questions upon which their proposed projects will be based.
3. Offerors are encouraged to engage with relevant partners and entities with advanced subject matter expertise in relevant disciplines, if applicable to the proposed project.

4. Although CDC anticipates proposed projects will rely on primary data collection, Offerors may also propose use and analysis of existing data.
5. Offerors have flexibility as to selection of study populations and study areas.
6. Offerors have flexibility as to study methods, including the use of multiple quantitative and/or qualitative approaches, which may include but are not limited to: population-based surveys in affected areas; surveys, interviews, or focus groups with public health, healthcare, and other officials, staff, providers, or others (as relevant to the project). Oversampling of specific sub-populations is also permissible.
7. Research designs and methods may include, but are not limited to, surveys, retrospective cohort studies, data mining, and “big data” analytic techniques, quasi-experimental designs, experiments, field studies, or mixed methods, as appropriate to the research questions.
8. It is the intent of this BAA that projects focus on preparedness and response issues within the United States.
9. Offerors shall address in sufficient detail how they intend to develop a sampling strategy, and shall state a proposed (and scientifically defensible) response rate and power calculations, if applicable. Offerors shall also state specific numbers of interviews, focus groups, etc., they intend to complete as part of their proposed projects.
10. Offerors shall address in sufficient detail how they intend to ensure that the method(s) employed reach the desired sample, and achieve a scientifically-defensible response rate.
11. Offerors may propose projects that entail travel to one or more sites within the United States for data collection or other relevant project purposes.
12. CDC intends for projects funded through this BAA to be carried out in a collaborative manner between the winning Offeror(s) and Government staff. The division of labor between CDC and the winning Offeror for any given project will be specific to that project and established during the proposal negotiation and contracting phases. Depending on availability of CDC staff and features of the project, the nature of the collaboration may vary. In all cases CDC shall have final decision-making authority about the technical direction of the project. Data, tools, products, and other deliverables resulting from the project remain the property of the U.S. government, although they may become part of the public domain in accordance with applicable laws and regulations.
13. Offerors shall describe how the results of the proposed project can improve the ability of CDC and its partners to prepare for and respond to public health emergencies or disasters.
14. Offerors must make a clear case as to how the proposed project answers questions or addresses problems of current relevance to the field of public health preparedness and response.
15. Offerors must specify in proposals how the resulting knowledge, practices, or tools can be effectively implemented, and include a project component that addresses dissemination of knowledge and support for translation.
16. Offerors should articulate how the implementation of new policies, practices, guidelines, or tools resulting from the proposed project can be evaluated to assess their impact on response capability, efficiency, or effectiveness, or on the time course of recovery from adverse events.

WHAT WE ARE NOT LOOKING FOR

1. Basic research, defined as research directed towards fuller knowledge or understanding of the fundamental aspects of phenomena and of observable facts, that *cannot be directly applied* to improving public health emergency preparedness and response or recovery from disasters.
2. Research that replicates knowledge gained from prior studies, without adding significant new information to the evidence base or providing a useful extension of current knowledge.

3. Solutions or practices that are less efficacious than current technologies or approaches.
4. Proven approaches that are *already in use* in the field.
5. Projects that lead to knowledge, tools, or practices that *cannot be feasibly translated* to policy or practice and evaluated for impact.

Eligibility

Public, private, for-profit, and non-profit organizations, as well as institutions of higher education, non-governmental organizations, and U.S. government organizations are eligible under this BAA. Eligibility includes:

- Accredited U.S. schools of public health
- Other accredited U.S. institutions of higher education and academic departments
- Private or public research institutes and centers based in the U.S.
- For-profit and non-profit scientific, consulting, and advisory organizations in the U.S.
- State or local government agencies within the U.S.

Federally Funded Research and Development Centers (FFRDCs) and U.S. Government entities (e.g., Government/National laboratories; military educational institutions, etc.) may be subject to applicable direct competition limitations. The burden to prove eligibility shall rest solely with the proposer. FFRDCs and Government entities must provide a letter on official letterhead from their sponsoring organization citing the specific authority establishing their eligibility to propose to Government solicitations.

The intent of this BAA is to allow for co-creation and co-design where deemed in the best interest of the Government to ensure high quality research projects that meet the needs of the agency. After potential Offerors submit Concept Papers, the Government, represented by a Program Subject Matter Expert, may *at its discretion*, discuss elements of these papers with Offerors to clarify ideas, proposed methods, scope, or other matters pertinent to the Government's specific research needs.

For successful proposals, funding recipients may be required to collaborate scientifically with CDC scientific staff. Collaboration may include CDC input into study design; CDC participating in data analyses; CDC participating in development of tools or products, and CDC leading or participating in authorship of scientific publications resulting from the research. The extent and nature of the collaboration will depend on availability of CDC resources and expertise relevant to the project. **Final decision authority regarding the nature and extent of scientific collaboration is held by the CDC.**

Offerors are highly encouraged to develop proposals in partnership or collaboration with state and/or local departments of health.

Offerors may formulate proposals that include subcontracting with other entities.

PART III – OVERVIEW OF SUBMISSION PROCESS

The following four-step sequence is established for Offerors contemplating submission of a proposal to this BAA. This sequence allows for an early determination of the potential for interest based on technical merit, applicability to CDC and projected funding. This process is designed to limit Offeror and Government expenditure of effort to prepare and review formal proposals for research that may have little chance of being supported.

Step 1 – Electronic Contact - OPTIONAL

This step initiates a technical dialogue between the Government and the potential offerors. **Potential Offerors may (but are not required to) e-mail the Contracting Officer, Sherrie N. Randall at srandall@cdc.gov with questions regarding the concept paper submission process or other aspects of the acquisition process no later than Friday, April 1, 2016 at 2:00 pm Eastern Standard Time (EST). If necessary, the Contracting Officer will solicit input from the CDC Scientific Coordinator for this BAA. The responses to all questions will be posted on the FedBizOpps website. The Government may reach out to the Offeror to clarify submitted questions. The Offeror is asked to provide a point of contact with an email address and a telephone number.**

Step 2 – Submission of Informal Concept Paper (Technical Dialogue)

This step is a continuation of the technical dialogue for projects of interest. Potential offerors must submit an informal concept paper of **no more than 4 pages in length** (exclusive of resumes, bios, CVs and references) describing the scientific and technical aspects of the proposed research project. See page 10 or Part III for more details on submission of concept papers. Concept papers should contain information related to background/problem, an overview of the proposed project, the main intent/purpose of the project and its value proposition, brief statement of data collection methods, data sources, analyses and proposed information products. Use of the concept paper is intended to determine which efforts are of sufficient technical merit and applicability to the Government's goals and interests prior to submission of a formal research proposal as described in Part IV; therefore, concept papers will not be as lengthy or detailed as a formal proposal (see Part IV). **Concept papers should contain a Rough Order of Magnitude estimate (Estimated Cost).**

All submitted concept papers will undergo an initial review for technical merit and program applicability. The Scientific Coordinator and/or members of the technical review team may discuss the proposed project with the potential Offeror, as required, to facilitate the Government's understanding of the scientific and technical aspects of the proposed research project. The Contracting Officer will assist in this process as needed.

Submission of a concept paper does not obligate the government to solicit a formal proposal from any Offeror. The Government reserves the right to reject any concept paper without comment.

Concept papers may be submitted to the Government beginning on **March 25, 2016** and must be submitted no later than **2:00 p.m. EST on April 25, 2016**. **There are no exceptions to this deadline.**

Step 3 - Submission of Formal Research Proposal

This step ends the technical dialogue. If there is sufficient interest by the Government in a proposed research project, the Contracting Officer will invite the Offeror to submit a formal research proposal (see Part IV). **The decision to solicit a formal proposal from an Offeror is strictly at the discretion of the Government.** The Government may solicit any number of proposals at its discretion or may opt to solicit none. Once the Contracting Office receives a research proposal, communication between scientific personnel and the Offeror is permitted only as authorized by the Contracting Officer.

Step 4 - Contract Award for Selected Projects

All proposals will receive an initial review (see Part V). Of these, all, some or none of the proposals will be reviewed more thoroughly by a Technical Evaluation Panel. The Contracting Officer will notify the Offeror(s), in writing, whether the proposal will be processed for award. The primary basis for selecting proposals for award shall be scientific/technical merit, feasibility of implementation and prior experience. Cost realism, reasonableness and fund availability will also be considered to the extent appropriate. See Part V for specific evaluation criteria. The Government has the right to make multiple awards.

GOVERNMENT OBLIGATION

Offerors submitting concept papers and proposals are cautioned that only a Contracting Officer may obligate the Government to any agreement involving expenditure of Government funds. **The Government is under no obligation to pay for any cost associated with development or submission of a concept paper or proposal. There is no commitment on behalf of the Government to fund any proposal received under this Announcement.** Offerors are cautioned that the submission of a concept paper and a proposal is strictly voluntary.

BAA POINT OF CONTACT

CDC's Contracting Officer for this requirement is Sherrie N. Randall, who may be reached at 770-488-2866 or by email at: srandall@cdc.gov

PART IV - CONCEPT PAPER SUBMISSION

Steps 1 and 2 provide for technical interchange prior to the submission of a formal proposal, and include the key elements for consideration in developing a concept paper and, if requested by the Government, a formal proposal. Any questions or clarification of project objectives or methods may be directly discussed between the Scientific Coordinator (or his/her designated technical points of contact) and the potential Offerors during the Technical Dialogue. The purpose of the Technical Dialogue is to obviate excessive expenditure of resources for projects that do not warrant consideration based on insufficient technical merits or funding limitations. Submission of a concept paper is considered part of the Technical Dialogue.

Concept paper Format and Content

Offerors are not asked to provide a detailed Statement of Work or step-by-step list of tasks as part of their concept papers; instead, Offerors are encouraged to provide more general statements about their proposed approach to the study of the topic, including geographical sites, methods, solutions to be developed, and other characteristics listed in Part I of this BAA. Offerors are encouraged to ensure that submitted concept papers demonstrate a clear grasp of content area for this project *as well as* an equally clear grasp of the methodological challenges (and potential solutions) for studying the topic effectively. Proposals that approach the challenges through novel, cross-disciplinary, or mixed-method approaches are highly encouraged. Offerors should also briefly address how the research will be translated to practice or otherwise implemented and are highly encouraged to incorporate a translation or implementation component within the project.

Each concept paper must address all of the following elements and should be **no more than 4 pages in length** (exclusive of resumes and appendices):

- Concept paper must be written in the following format:
 - a. Font size: 12-point, unrounded
 - b. Single-spaced
 - c. Paper size: 8.5 by 11 inches
 - d. Page Margin Size: One inch
 - e. Printed only on one side of page
 - f. Descriptive Title of the Proposed Project
 - g. Number and title of this announcement
- Concept paper submissions shall not contain Classified information.
- Project description briefly addressing the parameters and characteristics identified in **Part I**, as relevant to the work proposed.
- Tables and charts are permitted in the concept paper
- A rough order of magnitude (ROM) cost estimate to implement the research effort.
- An estimated timeline not to exceed **3 years (36 months)** to complete the project.
- **Offerors may submit a maximum of two (2) concept papers in response to this announcement. A concept paper must be no more than 4 pages in length. Resumes, bios, CVs and references are not counted against the 4 pages.**
- **Resumes of Key Personnel:** Key personnel are those skilled, experienced, professional and technical personnel essential for successful accomplishment of the proposal objectives, such as the principal investigator, team leader, etc. Information regarding the qualifications, capabilities, and experience of the proposed key personnel should be addressed. Include the resumes of the prime contractor,

subcontractor, and consultant personnel to include the names, brief biography, and list of recent publications of the Offeror's key personnel. Documentation of previous work or experience in the field of the proposer is especially important. **Resumes should not exceed 4 pages per person and shall not count as a part of your concept paper proposal page limit. Offerors may, but are not required, to utilize the NIH biosketch format for resumes.**

<http://grants.nih.gov/grants/funding/phs398/biosketch.pdf>

- Include as an appendix a description of any current or previous (in the last 5 years) work similar or related to the project proposed in the concept paper. **Appendices shall not count toward the 4 page limit for the Concept paper.**
- **In no more than 1 page (not to be counted against the 4 page limit), provide a listing and basic qualifications of likely organizational partners, sub-contractors, etc., with whom you would work if additional subject-matter expertise or other assistance is likely to be needed**

Concept Paper Submission

This BAA is open and in effect from the date of release March 25, 2016 through April 25, 2016. THIS IS AN IMMEDIATE CALL FOR CONCEPT PAPERS. Concept papers must be received by **2:00 p.m. EST on April 25, 2016** to be considered. ***There are no exceptions to this deadline. Concept papers must be submitted electronically to the Contracting Officer Sherrie N. Randall at srandall@cdc.gov***

Eligibility to Submit a Formal Proposal

Concept papers will be reviewed by the Scientific Coordinator and designated program technical experts within the agency. Scientific/technical merit, relevance and utility of the proposed project for CDC's programmatic needs, and availability of funding are of equal importance. CDC reserves the right to determine which Offerors will be requested to provide a formal proposal, based solely on review of submitted concept papers. Concept papers not considered to have sufficient scientific/technical merit or relevance to CDC's needs, or those in areas for which funds are not expected to be available, will not result in an invitation to submit a formal proposal. As stated in Part I, the Government reserves the right to reject any concept paper without comment. Offerors will be notified by the Contracting Officer if they are invited to submit a formal proposal. **Invitation to submit a proposal does not constitute selection of the proposed effort for contract award and does not establish a binding commitment for the Government to fund the effort in whole or in part.**

PART V - PROPOSAL PREPARATION AND SUBMISSION

GENERAL INFORMATION

This section is intended to provide information needed in preparing research proposals for submission to CDC. Proposals submitted under this BAA must contain technical, administrative, cost, and other supporting information as described below.

Most of the information needed to prepare a proposal will be found within this section. Blank proposal forms are included in Part VI and are designed to provide the required information needed for contracting purposes. Use of the enclosed proposal forms will expedite award of the research contract.

All proposals should include the information specified in this announcement in order to avoid delays in evaluation.

Proposals **shall not** be submitted until after the concept paper due date and review period. Offerors will be notified by the Contracting Officer if they are invited to submit a formal proposal.

Any questions concerning the preparation or content of the research proposal should be directed to the Contracting Officer

Eligibility

To be eligible for award of a contract, a prospective contractor (except other Governments, including State and Local Governments) must meet certain minimum standards pertaining to financial resources, ability to comply with the performance schedule, prior record of performance, integrity, organization, experience, operational controls, technical skills, facilities, and equipment.

Offerors must be registered in SAM.GOV in order to be considered.

Post-Employment Conflict of Interest

There are certain post-employment restrictions on former federal officers and employees, including special Government employees (Section 207 of Title 18, United States Code). If a prospective Offeror believes that a conflict of interest may exist, the situation should be brought to the attention of the Contracting Officer before time and effort is expended in preparing a proposal.

Restrictive Markings on Proposals

Offerors that include in their proposals data that they do not want disclosed to the public for any purpose, or used by the Government except for evaluation purposes shall:

- (a) Mark the title page with the following legend: "This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed -- in whole or in part -- for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this Offeror as a result of -- or in connection with -- the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets [insert numbers or other identification of sheets];" and
- (b) Mark each sheet of data it wishes to restrict with the following legend: "Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal."

All Offerors should also complete the Research Proposal Cover Page (Attachment 1) and should complete the statements of Attachment 2 indicating their preference for release of information contained in proposals and their understanding of the policy regarding evaluation of the proposals.

The Offeror is cautioned, however, that portions of the proposal may be subject to release pursuant to the Freedom of Information Act, 5 U.S.C. 552, as amended.

Reporting Requirements

In addition to all other required deliverables, the winning Offeror (Contractor) shall provide the COR with a bi-monthly (every two months) progress report detailing tangible accomplishments and progress towards benchmarks, milestones, and production of deliverables as well as identify key risks and challenges (and potential solutions) to successful completion of specific deliverables or the overall project. The Contractor shall provide, either as part of the bi-monthly progress report or the billing invoice, a breakdown of labor hours by personnel (including rates charged), as well as a brief summary of work undertaken/completed by each person performing work during the invoiced period. Finally, the Contractor shall, in partnership with the COR, develop a mutually agreed upon plan for communicating by conference call or in-person (including frequency of such communications) with the COR (and/or other staff, as determined by COR), and shall adhere to that plan.

Other Requirements

The Contractor and all project staff shall agree to sign and be bound by the requirements of CDC's non-disclosure agreement. The Contractor further agrees not to publish or disseminate information obtained or generated from this project during or following the conclusion of the period of performance without express written permission from CDC. In addition, the Contractor shall agree to share project management information, data and/or documentation related to resource allocations and expenditures, to include but not be limited to individual or aggregate labor hours per task, activity or sub-task; progress tracking; burn rates; and forecasting, upon request by CDC. Finally, the Contractor shall, upon request by CDC, provide requested documentation, files, or other information related to the project (data, output, meeting notes, etc.) within two working days of request.

Rights in Data and Publication

FAR Clause 52.227-14 Rights in Data-General (May 2014) shall be observed

All data, deliverables and products developed in the performance of this work shall become and remain the property of the US Government. All material developed in the performance of this contract for publication, including derivative works, shall be identified and approved by CDC prior to initiation, and processes must follow CDC's Authorship and Scientific Clearance Policies, as applicable, prior to submission for publication. CDC shall have final approval over manuscripts and publication of reports, articles in scientific journals, derivative works and the dissemination of findings developed in the performance of this contract. Final approval shall be in writing. Development of manuscripts, publication of reports, articles in scientific journals, and derivative works utilizing data obtained through the performance of the contract shall be the result of collaboration between the CDC and the contractor and all such products shall include CDC authorship unless declined by the Government.

CDC requires a data management plan (DMP) to be developed during the project planning phase, prior to the initiation of collecting or generating public health data. A DMP plan will address data security, documentation and preservation of data, data and mechanisms for data access and data sharing, or explanation of why long-term preservation and access are not justified. Any recipient of funding whose terms of award do not include submitting data to CDC should seek to deposit a de-identified data set, accompanying data dictionary, and other documentation relevant to use of the data set in a sustainable repository for archival and long-term preservation. Awardees will be required to inform the appropriate CDC point-of-contact identified by the CIO, via an update to their DMP, the location of where the data are stored. Data underlying scientific publication should be made

available coincident with publication of the paper, unless the data set is already available via a release or sharing mechanism.

Non-U.S. Citizen Participation

If the proposed research (or a portion of the proposed research) requires access to critical technology, sensitive unclassified information, For Official Use Only material, or intelligence material, non-U.S. citizens may participate in the resultant contract (or portion of the resultant contract) only if special written permission is granted by the Contracting Officer. The Contracting Officer will require the review and concurrence of the CDC Foreign Disclosure Officer (FDO) before granting this permission.

If the proposed research (or a portion of the proposed research) requires access to classified information (i.e., confidential or secret), non-U.S. citizens may participate in the resultant contract (or portion of the resultant contract) only if a Limited Access Authorization (LAA) is granted. A LAA can be granted only in the event that there are no U.S. citizens that can perform the effort. Granting of LAAs is not anticipated under this Broad Agency Announcement.

If any non-U.S. citizen requires access to CDC buildings, or other Government facilities, special written permission must be requested and obtained from the Contracting Officer and Security Officer through the resultant contract's Technical Point of Contact. Requests shall specify purpose, duration, frequency, and location (specific room, lab, etc.).

HHSAR Part 304 Policy Homeland Security Presidential Directive – 12(HSPD-12) Requirements (November 2011)

(a) To perform the work specified herein, contractor personnel are expected to have routine 1) physical access to an HHS-controlled facility; 2) logical access to an HHS controlled information systems; or 3) access to sensitive HHS data or information, whether in an HHS controlled information system or in hard copy. This contract/order will entail the following position sensitivity level(s): 1

(b) To gain routine physical access to an HHS facility, logical access to an HHS controlled information system, and or access to sensitive data or information, the contractor and its employees shall comply with Homeland Security Presidential Directive 12, Policy for a Common Identification Standard for Federal Employees and Contractors; Office of Management and Budget Memorandum (M-05-24); Federal Information Processing Standards Publication Number 201; and with the personal identity verification and investigation procedures contained in the following documents:

- (1) HHS Information Security Program Policy
- (2) HHS Office of Security and Drug Testing, Personnel Security/Suitability Handbook, dated February 1, 2005
- (3) CDC Policy: "ISSUANCE AND UTILIZATION OF PIV CREDENTIALS"
- (4) CDC Policy: "IN- AND OUT-PROCESSING OF CDC FTEs, PSCs, CONTRACTORS, AND OTHER NON-FTEs"
- (5) CDC Policy: "PHYSICAL ACCESS TO CDC FACILITIES"
- (6) CDC Policy: "NATIONAL AGENCY CHECK AND INQUIRY PROCEDURES"

(c) The personnel investigation procedures for Contractor personnel require that the Contractor prepare and submit background check/investigation forms based on the type of investigation required. The minimum Government investigation for a non-sensitive position is a National Agency Check and

Inquiries (with fingerprinting). More restricted positions, above non-sensitive, require more extensive documentation and investigation. The Contractor shall notify the Contracting Officer in advance when any new personnel, who are subject to a background check/investigation, will work under the contract and if they have previously been the subject of national agency checks or background investigations.

(d) Investigations are expensive and may delay performance, regardless of the outcome of the investigation. Delays associated with rejections and consequent re-investigations may not be excusable in accordance with the FAR clause, Excusable Delays--see FAR 52.249-14. Accordingly, the Contractor shall ensure that any additional employees whose names it submits for work under this contract have a reasonable chance for approval.

(e) Multiple investigations for the same position may, at the Contracting Officer's discretion, justify reduction(s) in the contract price of no more than the cost of the extra investigation(s).

(f) Language similar to this Security section shall be included in any subcontracts which require subcontractor personnel to have the same frequency and duration of (1) physical access to an HHS-controlled facility; (2) logical access to an HHS-controlled information system; or (3) access to sensitive HHS data/information, whether in an HHS-controlled information system or in hard copy; access to an information system, access to sensitive data, regular or prolonged access to an HHS-controlled facility.

(g) Inquiries on matters that affect contract compliance or terms and conditions should be directed to the Contracting Officer or designee.

(h) Within seven (7) calendar days after final acceptance of the work specified herein, the contractor shall return all identification badges in accordance with CDC's Policy titled "In- And Out-Processing of CDC FTEs, PSCs, Contractors, and Other Non-FTEs Policy". Contractor employees who separate from service under the contract prior to final acceptance shall be out processed in accordance with that same policy.

(end of clause)

Period of Performance

Proposals submitted in response to this BAA may be for a period of performance up to **three** years (36 months). Proposals of shorter duration are also acceptable.

Contract Types

The Government shall decide on the type of contract awarded based on Offerors' proposals. The Government will consider proposals for firm-fixed price, cost-plus-fixed fee, and time & materials contracts.

Funding

- Fiscal Year Funds: 2016
- **Approximate** Total Funding: To Be Determined
- Approximate Average Award: N/A
- Floor of Award Range: N/A
- Ceiling of Award Range: 1,500,000.00 per award
- **Anticipated** Award Date: On or around July 5, 2016
- Total Period of Performance: Up to three years (36 months). CDC's commitment to this award will be conditioned on the availability of funds, evidence of satisfactory progress by the contractor, and the determination that continued funding is in the best interest of the Government.

Proposal Submission

To be considered for award, an Offeror must have submitted a concept paper which was favorably reviewed by CDC. Favorable review refers to assessment by CDC staff that a concept paper adequately addresses the Government's programmatic interests and requirements as described in Part I, meets the submission guidelines in Part III, and demonstrates sufficient scientific/technical merit. Offerors whose concept papers receive favorable review will then be formally notified by the Contracting Officer to submit a formal proposal. **The Request for Proposal (RFP) will identify a due date for submitting the proposal. The Offeror must follow the proposal submission guidelines identified in this section and the Request for Proposal (RFP) letter.**

Follow-On Contracts

A proposal for continuation of a current research project will be considered on the same basis as proposals for new research. The proposal should be submitted sufficiently in advance of the termination of the existing contract so that if it is accepted, contract performance may be continued without interruption.

PROPOSAL PREPARATION INSTRUCTIONS

The proposal is the only vehicle available to the Offeror for receiving consideration for award. The proposal must stand on its own merit; only information provided in the proposal can be used in the evaluation process leading to an award. The proposal should be prepared simply and economically, providing straightforward, concise delineation of the proposed project and the capabilities possessed by the Offeror to perform the proposed work. The technical proposal must be accompanied by a fully supported cost proposal as cost and technical considerations are reviewed simultaneously.

Each proposal shall be submitted under cover of Attachment 1 and shall contain three distinct sections. The first section shall contain the technical discussion. The second section shall contain contractual information, certifications, and other documentation. The last section shall contain a breakdown of the anticipated costs.

Proposal Copies

Offerors shall submit copies of their proposal as follows:

Proposal Section	Paper	Electronic
Technical Proposal	1 Original	One
Administrative Proposal	1 Original	One
Timeline and Cost Proposal	1 Original	One

Each paper and electronic copy must contain any restrictive legends and the electronic copy must be in a format compatible with Microsoft Office 2013 or 2010.

All proposals, written communications or documentation concerning this BAA shall be directed to:

Attention: Sherrie N. Randall

Contracting Officer

Centers for Disease Control and Prevention (CDC)

Office of Financial Resources (OFR)

2920 Brandywine Rd (MS-K14)

Atlanta, GA 30341

(E) srandall@cdc.gov

(O) 770-488-2866

Proposal Content

Section I - Technical Section – 10 page limit (single spaced)

- a. **Cover Page:** The cover page should include the BAA Number, Addendum number, research topic and reference number, name and telephone number for the principal points of contact (both technical and contractual), and any other information that identifies the proposal. The cover page should also contain the proprietary data disclosure statement, if applicable. **The cover page does not count towards the technical proposal page limit.**
- b. **Table of Contents:** It is highly recommended that the Offeror prepares a table of contents and use it for a final quality-control checklist. **The table of contents does not count towards the page limit technical proposal page limit.**
- c. **Summary Statement of Proposed Research, including Impact for Public Health Preparedness and Community Recovery (one page limit):** Provide a brief overview and summary of the proposed project, to include a statement of the problem and research question(s) to be addressed, proposed research site(s), data sources and collection methods, deliverables, timeline for completion of major deliverables and anticipated impact of completed research. **The summary statement does not count towards the technical proposal limit.**
- d. **Scientific/Technical Approach:** In this section, the Offerors should provide as much technical detail and analysis as is necessary or useful to support the technical approach they are proposing, including any prediction and modeling techniques useful for public health research. This section should include, at a minimum, a description of the following (as applicable to Offerors' proposals):
 - Statement of the problem and relevant research questions
 - Approach(es), techniques, or research methods to addressing the problem and research questions
 - Research site(s), disaster-affected or other geographic areas (if applicable), etc., specific organizations/agencies, etc.
 - Specific population(s) of interest
 - Data sources (including whether new or existing)
 - Data management plan
 - Information regarding strategies to acquire respondent contact information (telephone numbers, cell phone numbers, e-mail addresses, mail addresses, etc.)
 - Data collection methods
 - Approach to sampling strategy, including desired numbers of responses, interviews, and defensible (and achievable) response rate
 - Instruments, items and scales to be employed
 - Partners required or leveraged to carry out this project (e.g., state/local health department staff, other public or private organizations at the research site(s))
 - Deliverables and/or products, including:
 - Work plan
 - Progress reports
 - Sampling strategy, as applicable
 - Strategy to acquire telephone numbers/cell phone bank, if needed
 - Completed surveys, if surveys are proposed
 - Completed interviews or focus groups, if either or both of these are proposed

- Other interim outputs
 - Completed assessment instruments or experiment data, if proposed
 - Interim and final datasets, data dictionaries, and related output
 - A final report of findings
 - A translation or implementation plan
 - Timelines for completion of key benchmarks, milestones, or deliverables
 - Offerors shall incorporate an Office of Management and Budget / Paperwork Reduction Act (OMB/PRA) package development task into their submission, if their project may necessitate it. The Offeror shall clearly state whether it has the ability to rapidly develop and iterate (with CDC) PRA package documents, occasionally to include rapid turnaround times that may be as short as 2 days to substantially generate or modify package documents
 - Offerors shall incorporate support for addressing Human Subjects Protections (HSP) requirements and Institutional Review Board (IRB) review. Please note that all proposed research, even if anticipated to be Exempt or involving minimal risk to human subjects, will require HSP review by CDC.
- e. **Project Support:** This section should describe additional activities and support the Offeror agrees to provide, if requested (e.g., technical editing/formatting, statistical consultation for analysis, *ad hoc* presentations to CDC staff and partner agencies, presentation development/support (e.g., PowerPoint slide development; “one-pagers” / technical briefs); document generation, mail survey generation and mailing, etc.). Offerors shall include note-taking for key meetings in this section.
- f. **Proposed Staff Allocation / Level of Effort:** This section should contain, at a minimum, a brief narrative describing how Offeror’s staff are proposed to be allocated to the proposed project, as well as a table with two columns. In any given row, the cell in the first column should state the staff position/role (e.g., Project Manager; Research Associate; Data Analyst; etc.), and the second column should contain proposed number of labor hours to be worked by that staff person on the project. Offerors are encouraged to indicate proposed Level of Effort (indicated as an FTE or percentage of time, e.g., 0.8 FTE or 80% time) for Key Personnel as well, in narrative form or as third column in table.
- g. **References:** Any good technical discussion must present the basis for and reference the findings cited in the literature.
- h. **Schedule:** The schedule represents the Offeror's commitment to perform the program tasks in an orderly, timely manner.
- (1) **Time Line Chart by Task:** Each major task identified in the Statement of Work (SOW) must appear as a separate line on the program schedule. Time line should include a kick-off meeting and at least quarterly 1.5 day in-person meetings with no more than 2 contractor staff.
- i. **Management and Technical Team:** Include prime contractor and subcontractor, principal investigator (PI), and additional key staff who are involved in this project. This should specifically identify what tasks will be performed by which party and why each subcontractor, if any, was selected to perform its task(s).
- (a) Prime Contractor Responsibilities
 - (b) Subcontractor(s) Responsibilities

(c) Consultant(s) Responsibilities

Include in this section a statement about quality and risk management controls the Offeror has or will have in place to assure that work and products will be best quality possible.

- h. **Capabilities and Relevant Experience of Key Personnel:** Key personnel are those skilled, experienced, professional and technical personnel essential for successful accomplishment of the proposal objectives, such as the principal investigator, team leader, etc. Information regarding the qualifications, capabilities, and experience of the proposed key personnel should be addressed. Include the resumes of the prime contractor, subcontractor, and consultant personnel to include the names, brief biography, and list of recent publications of the Offeror's key personnel. **Resumes do not count toward the technical proposal page limit.** Documentation of previous work or experience in the field of the proposer is especially important. **Please be sure to address how key personnel possess the capabilities and relevant experience related to the proposed scientific research.**
- i. **Evidence of partner support.** If available, provide a statement of support by relevant partners for successful completion of proposed project. Examples include, but are not limited to, relevant state/local health departments, international ministries of health, mental health agencies/organizations, non-government organizations, other entities or agencies within the public health system in affected area(s), etc.
- j. **Examples of previous similar or related projects, including funding amounts and points of contact.** Points of contact on these other projects may be contacted.
- k. **Appendix(es):** Appendices may include technical reports, published papers, and other referenced material. A listing of these reports/papers with short descriptions of the subject matter is usually adequate. Do not provide commercial product advertising brochures; these are unwanted. **Appendix(es) do(es) not count toward the technical proposal page limit.**

Offeror's Statement of Work (SOW)

- a. It is the intent of the Government to use the Offeror's SOW, as written, provided that the Offeror's SOW accurately describes the work to be performed, is enforceable, and is void of inconsistencies. If, in the Government's opinion, the Offeror's SOW does not reflect these requirements, the Government will prepare an SOW using information available in the Offeror's proposal; this process may delay the award.
- b. The Government reserves the right, prior to contract award, to modify salient components of the research proposal if, in the Government's opinion, it can better support the project by incorporating such changes.
- c. **The SOW shall be a separate and distinct part of the proposal, and must also be submitted electronically in the format called out below. Do not include any proprietary information in the SOW. The SOW shall be written as a performance-based SOW. To ensure all technical proposals receive proper consideration, the Government requires that the SOW format below be strictly adhered to. The SOW does not count toward the technical proposal page limit.**
- d. Below is the required format for the SOW. Begin this section on a new page with the Title of the Project at the top of the page. Start your SOW at Paragraph C.1.

C.1 **Background and Need** – (Describes the requirements in general, non-technical terms. This section should explain why the acquisition is being pursued and how it relates to past, current, or future projects.

Include a summary of statutory program authority and any regulations that are applicable. If any of the techniques have been found to be tried and been found to be effective, they should be included here.)

C.2 Project Objective – *(A succinct statement of the purpose of the acquisition. It should outline results that the Government expects and may also identify the benefits to the program that is contemplated.)*

C.3 Scope of Work – *(An overall, non-technical description of the work to be performed. It expands on the projected objectives, but does not attempt to detail all of the work required. It must be consistent with the detailed requirements.)*

C.4 Technical Requirements – *(Spells out precisely what is expected of the contractor in the performance of the work.*

- *Describes the specific tasks and phases of the work*
- *Deliverables to be generated from the described tasks must be clearly defined*
- *Specifies the total effort each task or phase is to receive*
- *Considerations that may guide the contractor in its analysis, design, or experimentation on the designated problems*
- *Identifies the requirements and indicates the scope of each*

C.5 Reporting Schedule – *(Describes any reporting requirements including content and format.)*

C.6 Special Considerations – *(Information that does not fit neatly or logically into one of the other sections. For example, it may be used to explain any special relationships between the contractor and other contractors working for the government.)*

C.7 Government Furnished Property

C.8 References – *(Describes any reference materials that may be relevant to the work being performed.)*

Deliverables – *(Defines and describes the deliverables, the quantity required, the recipient(s), and the schedule should be attached to the SOW.)*

NOTE: Deliverables included in Deliverables table must correspond to the tasks outlined under “C.4 Technical Requirements”

508 Compliance

Section 508 of the Rehabilitation Act (29 USC 794d)

Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d), as amended by the Workforce Investment Act of 1998, and the Architectural and Transportation Barriers Compliance Board Electronic and Information (EIT) Accessibility Provisions (36 CFR part 1194), require that, unless an exception applies, all EIT products and services developed, acquired, maintained, or used by any Federal department or agency permit:

- (1) Federal employees with disabilities to have access to and use information and data that is comparable to the access and use of information and data by Federal employees who are not individuals with disabilities; and
- (2) Members of the public with disabilities seeking information or services from a Federal agency to have access to and use of information and data that is comparable to the access and use of information and data by members of the public who are not individuals with disabilities.

Accordingly, any vendor submitting a proposal/quotation/bid in response to this solicitation must demonstrate compliance with the established EIT accessibility provisions. Information about Section 508 provisions is available at <http://www.section508.gov/>. The complete text of Section 508 Final Provisions can be accessed at <http://www.access-board.gov/sec508/provisions.htm>.

The Section 508 standards applicable to this solicitation are identified in the Statement of Work/Specification/Performance Work Statement. In order to facilitate the Government's evaluation to determine whether EIT products and services proposed meet applicable Section 508 accessibility standards, offerors must prepare an HHS Section 508 Product Assessment Template, in accordance with its completion instructions, and provide a binding statement of conformance. The purpose of the template is to assist HHS acquisition and program officials in determining that EIT products and services proposed support applicable Section 508 accessibility standards. The template allows vendors or developers to self-evaluate their products or services and document in detail how they do or do not conform to a specific Section 508 standard. Instructions for preparing the HHS Section 508 Product Assessment Template may be found at <http://508.hhs.gov>.

Respondents to this solicitation must also provide any additional detailed information necessary for determining applicable Section 508 standards conformance, as well as for documenting EIT products and/or services that are incidental to the project, which would constitute an exception to Section 508 requirements. If a vendor claims its products and/or services, including EIT deliverables such as electronic documents and reports, meet applicable Section 508 standards in its completed HHS Section 508 Product Assessment Template, and it is later determined by the Government – i.e., after award of a contract/order, that products and/or services delivered do not conform to the described accessibility in the Product Assessment Template, remediation of the products and/or services to the level of conformance specified in the vendor's Product Assessment Template will be the responsibility of the Contractor at its expense.

The Applicable provisions of this solicitation are: 1194.21, .22, .31, and .41

Notice Regarding IT Security

The Contractor's performance and resulting deliverables must adhere to all federal, HHS, and/or CDC IT security, privacy and Section 508 policies and procedures. Development or implementation of an electronic information system or any electronic data collection effort conducted in the performance of this contract will be required to complete Certification and Accreditation (C&A) prior to operation resulting in an Authority of Operate (ATO) from CDC. The contractor shall be required to complete all security documentation and materials necessary to obtain an ATO. The contractor shall comply with all applicable HHS, CDC, FISMA, HIPPA, NIST, and other federal policies and regulations in the performance of the security requirements.

The Contractor must follow the guidance in NIST Special Publications, Guidelines on Securing Public Web Servers, NIST publication SP 800-44 (<http://csrc.nist.gov/publications/nistpubs/800-44-ver2/SP800-44v2.pdf>) and Guide to Secure Web Services, NIST publication SP 800-95 (<http://csrc.nist.gov/publications/nistpubs/800-95/SP800-95.pdf>). See the Web Application Security Consortium (<http://www.webappsec.org>) and the Open Web Application Security Project (OWASP - <http://www.owasp.org>) for tips on how to avoid security problems in Web applications.

All information systems developed or implemented in support of this contract must adhere to the security controls outlined in the National Institute of Standards and Technology (NIST) Special Publication 800-53, Recommended Security Controls for Federal Information Systems and Organizations (<http://csrc.nist.gov/publications/nistpubs/800-53-Rev3/sp800-53-rev3-final-errata.pdf>).

Any application hosted within CDC must meet CDC security guidelines. Web Application development projects should follow the CDC Secure Web Application Coding Guidelines which can be provided by the Scientific Coordinator.

OCISO IT SECURITY DETERMINATION

IT Security Required: **YES: X NO:**

Remarks/Language: Remarks/Language: IT Contractor performance and resulting deliverables must adhere to all federal, HHS, and/or CDC IT security policies and procedures. Based upon the scope of this contract, the SOW must include the appropriate language to address the following IT security topics Standard for Security

Configurations; Standard for Encryption Language; and Security requirements for Federal Information technology Resources.

These clauses are available at <http://www.hhs.gov/grants/contracts/contract-policies-regulations/hhsar/subpart352-30s/index.html#352.239-70Standardforsecurityconfigurations>.

Section II - Administrative Section Contents – No page limit

This portion of the proposal shall contain the completed certifications and applicable forms contained in this BAA and shall include the following:

Contract Type

Identify the type of completion contract proposed. (**Note:** Offers proposed on a cost-reimbursement basis **MUST** contain evidence that the Offeror's accounting system is approved for such type contracting; i.e., provide identification of audit agency and dates last accounting and estimating system audits were performed. If approval was not obtained before submission of the proposal, the proposal shall address how the Offeror will obtain the required approvals. Evidence of an approved accounting system **MUST** be obtained prior to contract award.)

Environmental Considerations

Discuss all applicable environmental and energy conservation objectives associated with the acquisition (see FAR Part 23), the applicability of an environmental assessment or environmental impact statement (see 40 CFR 1502), the proposed resolution of environmental issues, and any environmentally-related requirements to be included in the resultant contract.

Organizational Conflicts of Interest

Identify any members of the Offeror's organization or team with potential conflicts of interest. Possible conflicts of interest include any people with prior federal employment, including employment of the Principal Investigator as a special Government employee (duties, agency with whom employed, dates of employment) within two years from the date of proposal submission. If none, so state.

Disclosure Requirement

Completion of Attachment 2 is prerequisite for evaluation of the proposal under this BAA.

Understanding of Evaluation Policy

Completion of Attachment 2 is prerequisite for evaluation of the proposal under this BAA.

Representations, Certifications and Other Statements of Offerors

Attachment 3 is provided for **information only**. Each Offeror is required to complete the Online Representations and Certifications prior to submission of proposals and verification/validation is a prerequisite to award under this BAA. (**Note:** Online Representations and Certifications Applications (ORCA), an e-Government initiative has replaced the paper based Representations and Certifications (Reps and Certs) process. The ORCA site can be found by going to <http://www.bpn.gov> and clicking on "Online Reps and Certs Application" on the left side of the screen.)

Subcontracting Plan (Only Applicable to Large Businesses)

In accordance with FAR 19.702, if the total amount of the proposal exceeds \$700,000 and the Offeror is a large business, the Offeror shall prepare and submit a Small, Small Disadvantaged and Women-Owned Small

Business Subcontracting Plan. A mutually agreeable Subcontracting Plan will be included in, and made a part of, the resultant contract. The contract cannot be executed unless the Contracting Officer determines that the Subcontracting Plan provides the maximum practicable opportunity for small, small disadvantaged and women-owned small business concerns to participate in the performance of the contract.

As stated in 15 U.S.C. 637(d)(8), any contractor or subcontractor failing to comply in good faith with the requirements of the subcontracting plan is in material breach of its contract. Further, 15 U.S.C. 637(d)(4)(f) directs that a contractor's failure to make a good faith effort to comply with the requirements of the subcontracting plan shall result in the imposition of liquidated damages.

Title to Equipment

Title to equipment or other tangible property purchased with contract funds will be disposed of in accordance with Contracting Officer instructions at the time of contract completion.

Section III - Cost Section Contents – No page limit

In accordance with FAR 15.403-3 (under FAR 15.408 Table 15.2 when submission of Cost or Pricing Data is required), a detailed cost proposal shall be submitted with the technical proposal and shall include, at a minimum, the following information (contractor's format is acceptable):

Period of Performance

Identify the proposed duration of the effort.

Direct Labor

Provide a list of participants, by category (and name, if appropriate), showing the hours and labor rates to be charged for each and the total amount per year proposed to be paid for each. For proposals from universities, the time and amounts to be charged should be identified by academic year and summer effort. Disclose and explain the basis of any escalation factors utilized.

Materials

Provide an itemized list of permanent equipment showing the cost of each item and the basis for the proposed cost. Provide a general description and total estimated cost of expendable equipment and supplies. Permanent equipment is any article of non-expendable tangible personal property having a useful life of more than two (2) years and an acquisition cost of \$500 or more per unit. Permanent equipment costs shall not be fee/profit bearing.

Other Direct Costs

Travel

Include contemplated expenditures for travel with explanations for each trip and its proposed length and number of participants. The breakdown of these costs shall show the airfare, per diem rates, car rental rate, and any other travel expenses (such as parking fees, etc.) and shall be in accordance with the Joint Travel Regulations (JTR).

Subcontracts

Subcontractor cost proposals shall meet all of the requirements stated herein for the prime contractor. Subcontractor cost breakdowns may be submitted under separate cover.

Consultants

Provide a breakdown of any costs for consulting services showing number of days, daily rates, and estimated travel/per diem costs to the level of detail described in the travel narrative above. The need for consulting services must be explained and the basis for the daily rates must be provided.

Miscellaneous

Miscellaneous costs may include such items as publication charges, copying, subscriptions, photography, graphics, etc., only if they are consistent with and allowable under the Offeror's cost accounting system.

Indirect Costs

Indirect rates (overhead, G&A, etc.) utilized must be disclosed. Indicate whether any indirect rates used are fixed or provisional and the time frames to which they are applicable (e.g., a fixed rate may apply until a specified date, after which the rate becomes provisional). Proposals for contracts subject to FAR Subpart 31.2 shall complete Attachment (4). Facilities capital cost of money (FCCM) will not be an allowable cost in any resulting contract if the Offeror's proposal fails to identify or propose FCCM (see FAR 15.408(i)).

Fee/Profit

The Offeror must explain their proposed fee or profit, if any, which the organization proposes to assess the research project and how the fee/profit was derived. Reminder: Permanent equipment costs and the cost of facilities when purchased for the account of the Government (i.e., charged as a direct cost) shall not be fee/profit bearing.

PART VI - PROPOSAL EVALUATION

INITIAL REVIEW

Upon receipt of a proposal, the Government will perform an initial review to ensure that it meets the requirements described in Part IV. Proposals that do not meet the requirements will not undergo the detailed evaluation described below, and will not be considered for award.

PEER/SCIENTIFIC REVIEW

Formal proposals not declined as a result of the initial review will be subject to a more thorough review by a technical evaluation / scientific review panel comprised of at least three, and no more than five, FTE within CDC, at least half of whom shall have experience as a COR within the last 5 years.

Proposals submitted in response to this BAA will be evaluated in accordance with the following criteria.

Technical Evaluation

The technical evaluation sub factors and evaluation criteria are listed below in descending order of importance as follows:

**Scientific and Technical Merit
Staffing, Management, Prior Experience
Cost Realism**

(1) Scientific and Technical Merit

The overall strength and rationale of the proposed scientific and technical methods, including the extent to which the Offeror has addressed the following items:

- Does the Offeror adequately address relevant items enumerated in the BAA, including the topics and parameters in Part I of this BAA?
- Does the Offeror's proposal clearly state research questions or problem statements?
- Does the Offeror's proposal describe a project that adequately addresses the research questions or problem statements?
- Does the Offeror describe an approach that reflects potential scientific collaboration between CDC and Contractor as stated in Part I?
- Does the Offeror propose a project that, in the judgment of the scientific review panel, is feasible to conduct?
- Does the Offeror propose a project that, in the judgment of the scientific review panel, has a reasonable likelihood of success? (i.e., completion of stated objectives/deliverables, on time, within budget)
- Does the Offeror propose a project that is likely, in the judgment of the scientific review panel, to yield information, practices, guidelines, or tools that will have positive impact?
- Does the Offeror's proposals reflect novel, innovative, creative or cutting edge scientific approaches, or address questions in the preparedness and response field that have yet to be adequately addressed?
- Does the Offeror describe how it will ensure appropriate documentation throughout the proposed project, to include at a minimum documentation of (a) research, data collection and analysis

methods utilized, (b) key decision points (including rationale and alternatives) as well as plans for note-taking at key meetings?

- If one or more population-based surveys are proposed, does the Offeror adequately address, to the satisfaction of the technical review panel, the needs, risks, challenges and solutions to sampling, response rates and the acquisition of population contact information (e.g., landline and cell phone numbers)?
- Has the Offeror articulated how the knowledge gained through the research can be translated or implemented, and has a component been included to address dissemination, translation support, and/or piloting of the tools, solutions, methods, or practices developed through the research?
- Has the Offeror articulated a research study that is likely to have a significant impact on the topics, problems or issues facing the Government as described in the BAA?
- Does the Offeror present a time line that identifies each major task, and that demonstrates the Offeror's commitment to feasibly perform the project tasks within the proposed time frame?
- Does the Offeror adequately describe how the results or products of the proposed project can be translated and how they are likely to have impact on the problem to be addressed?
- Has the Offeror included a Data Management plan in the proposal that adequately describe the data to be collected or generated in the proposed project; standards to be used for collected or generated data; mechanisms for providing access to and sharing of the data (including provisions for the protection of privacy, confidentiality, security, intellectual property, or other rights); use of data standards that ensure all released data have appropriate documentation that describes the method of collection, what the data represent, and potential limitations for use; and plans for archival and long-term preservation of the data, or explaining why long-term preservation and access are not justified?

(2) Staffing, Management and Prior Experience

The Offeror's staffing, management, related experience, facilities, techniques, or the unique combinations of any of these qualifications are integral factors for achieving the proposal objectives, including the extent to which the Offeror has addressed the following:

- Does the Offeror propose staff with sufficient experience and skills to carry out proposed tasks for this project successfully?
- Does the Offeror sufficiently describe a management structure and processes which demonstrate that it is able to execute a project plan utilizing appropriate project management principles, assures quality of processes and products, and can anticipate, mitigate, and address key risks to the project?
- Does the Offeror describe similar or related projects it has undertaken in the past five years, which demonstrates it has successfully conducted the type of research indicated in its proposal?
- Does the Offeror have access to adequate institutional support, including library, reference and/or subscription services, necessary to assist in formulation of the research project and study design?
- Does the Offeror identify what tasks will be performed by which individual or party, and why each subcontractor, if any, was selected to perform its task(s)?
- Does the Offeror have access to other institutional support services that can help assure the success of this project, as well as the availability of special technical expertise in their organization related to the conduct of systematic reviews?

(3) Cost Realism

The reasonableness and realism of proposed costs and fees (if any), including the extent to which the applicant has addressed the following items:

- Does the Offeror provide a detailed and clear budget that demonstrates a realistic understanding of the scientific and technical tasks to be performed in all phases of this project?
- Does the Offeror describe reasonable allocation of staff labor towards various tasks?

Administrative Proposal

The Contracting Officer will review the administrative section of the proposal for compliance.

Proposal Comparisons

Each proposal will be evaluated based on the merit and relevance of the specific research proposed as it relates to the overall CDC mission rather than against other proposals for research in the same general area.

PART VII - PROPOSAL FORMS

<u>List of Attachments</u>	<u>Number of Pages</u>
(1) Research Proposal Cover Page	1
(2) Disclosure Requirement and Evaluation Policy Understanding: Policy Statement, Statement of Disclosure Concurrence, and Statement of Evaluation Policy Understanding	2
(3) Representations, Certifications and Other Statements of Offerors	11

ATTACHMENT 1 - RESEARCH PROPOSAL COVER PAGE					
1. To: CDC Procurement and Grants Office (PGO) Attn: Sherrie N. Randall, Contracting Officer 2920 Brandywine Road, MS K-14 Atlanta, GA 30341			2. CDC Topic Area		
3. From (<i>name and address of Offeror</i>):			4. Government Point of Contact During Technical Dialog		
			5. Type and Size of Business: <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Large <input type="checkbox"/> Individual <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation, incorporated in state of: </div> <div> <input type="checkbox"/> Small Business <input type="checkbox"/> SDB <input type="checkbox"/> Women-Owned SB </div> </div>		
6. CAGE:		7. DUNS:		8. TIN:	
9. Proposal Title:		10. Requested Start Date:		11. Total Proposed Contract Value:	
		12. Requested Duration:		13. Proposal Valid Until (<i>minimum six months</i>):	
		14. Type of Contract Proposed: <input type="checkbox"/> Firm Fixed Price <input type="checkbox"/> Cost Plus Fixed Fee <input type="checkbox"/> Cost, No Fee <input type="checkbox"/> Time & Materials		15. Address to Which Payment Shall Be Mailed (<i>if different from Block 4</i>):	
16. Offeror's technical representative authorized to conduct negotiations (Principal Investigator): Name _____ Telephone No. _____ Primary _____ Alternate _____			17. Offeror's administrative representative authorized to conduct negotiations: Name _____ Telephone No. _____ Primary _____ Alternate _____		
18. Proposal Contents (<i>if not applicable, enter "N/A" under Page</i>):					
Page	Technical Section	Page	Administrative Section	Page	Cost Section
	Proposed Research		Contract Type		Detailed Cost Estimate Breakdown
	Potential Contribution		Organizational Conflicts of Interest		
	Offeror's Qualifications		Security Issues		
	Personnel		Disclosure Requirement and Evaluation Policy Understanding: Policy Statement, Statement of Disclosure Concurrence, and Statement of Evaluation Policy Understanding (see Attachment (2))		
	Past Performance				
	Draft Description of Work				
			Representations, Certifications and Other Statements of Offerors or Quoters (see Attachment (3))		
19. Authorized Representative: Typed Name: _____ Signature: _____ Title: _____ Date signed: _____					

ATTACHMENT 2

DISCLOSURE REQUIREMENT AND EVALUATION POLICY UNDERSTANDING

CDC has a continuing interest in receiving and evaluating proposals containing new ideas, suggestions for researching ways to enhance the state-of-the-art in public health. However, Government personnel and contractors are constantly engaged in R&D activities, and the substance of your proposal may already be known to Government employees or contractors, or may even be in the public domain. For such reasons it is desirable, when receiving proposals for evaluation, to insure that the persons submitting them are aware of the conditions under which the CDC will consider them.

It must be understood that the receipt and evaluation of the proposal by CDC does not imply a promise to pay, recognition of novelty or originality, or any relationship, which might require the Government to pay for use of information to which it is otherwise lawfully entitled.

Due care will be exercised to ensure that, in addition to technical design or concept data submitted, administrative and cost data will not be used by the Government for any purpose other than evaluation of the proposal. Administrative and cost data will not be disclosed to non-Government participants. Additionally, such data will not be disclosed outside the Government or be duplicated, used or disclosed in whole or in part by the Government, except for tracking and record purposes or to evaluate the proposal. This restriction does not limit the Government's right to use information contained in such data if it is obtained from another source, or is in the public domain.

All research proposals will be treated as privileged information before award and contents will only be disclosed for purposes of evaluation. Your voluntary submission will be handled in accordance with established Government procedures for safeguarding such articles or information against unauthorized disclosure. All Government reviewers will be made aware that proposals sent to them are not to be duplicated, used, or disclosed in whole or in part for any purpose other than to evaluate the proposal, without the written permission of the Offeror.

You should be aware that, despite all precautions, we may be able to protect the confidentiality of proposal only to the extent that it is exempt from disclosure under the Freedom of Information Act (see FAR Subpart 24.2).

Upon receipt, your proposal will be submitted to the appropriate technical experts for evaluation. Your proposal will undergo initial review within sixty (60) days after receipt. If additional time for this review is required, you will be notified in writing. Processing of proposals not declined as a result of the initial review may require as much as 120 days.

Having read and understood the above policy, please execute and submit the following statements:

<p><u>STATEMENT OF DISCLOSURE PREFERENCE</u></p> <p><input type="checkbox"/> This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed -- in whole or in part -- for any purpose other than to evaluate this proposal. If, however, if a contract is awarded to this Offeror as a result of -- or in connection with -- the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction.</p> <p><input type="checkbox"/> The data subject to this restriction are contained in sheets [insert numbers or other identification of sheets]: _____ _____ _____.</p> <p><input type="checkbox"/> All data contained in this proposal are subject to this restriction.</p> <p><input type="checkbox"/> Permission is hereby granted to CDC to evaluate this proposal, which may include evaluation by evaluators both within and outside the Government, with the understanding that written agreement not to disclose this information shall be obtained from any non-Government evaluator.</p>	<p><u>STATEMENT OF UNDERSTANDING OF EVALUATION POLICY</u></p> <p>It is understood that CDC has accepted the above proposal for the purpose of evaluating it and advising of any possible interest.</p> <p>It is further understood that such acceptance does not imply or create a promise to pay; an obligation to give up any legal right or to assume any duty; a recognition of novelty, originality or priority; or any relationship, contractual or otherwise, such as would render the Government liable to pay for or give up any legal right or assume any obligation for disclosure or use of any information in the proposal to which the Government would otherwise lawfully be entitled.</p>
Company or Corporation Name:	
Proposal Title:	
Signature:	
Name and Title/Position of Authorized Rep Signing:	
Date:	
BAA Number: 2016-N-17770	

ATTACHMENT 3

REPRESENTATIONS, CERTIFICATIONS AND OTHER STATEMENTS OF OFFERORS OR QUOTERS

A. *The following FAR provision must be completed ONLY if the proposed contract type is firm fixed price:*

52.203-2 CERTIFICATE OF INDEPENDENT PRICE DETERMINATION (APR 1985)

(a) The Offeror certifies that

(1) The prices in this offer have been arrived at independently, without, for the purpose of restricting competition, any consultation, communication, or agreement with any other Offeror or competitor relating to (i) those prices, (ii) the intention to submit an offer, or (iii) the methods or factors used to calculate the prices offered;

(2) The prices in this offer have not been and will not be knowingly disclosed by the Offeror, directly or indirectly, to any other Offeror or competitor before bid opening (in the case of a sealed bid solicitation) or contract award (in the case of a negotiated solicitation) unless otherwise required by law; and

(3) No attempt has been made or will be made by the Offeror to induce any other concern to submit or not to submit an offer for the purpose of restricting competition.

(b) Each signature on the offer is considered to be a certification by the signatory that the signatory

(1) Is the person in the Offeror's organization responsible for determining the prices being offered in this bid or proposal, and that the signatory has not participated and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above; or

(2)(i) Has been authorized, in writing, to act as agent for the following principals in certifying that those principals have not participated, and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above _____
(insert full name of person(s) in the Offeror's organization responsible for determining the prices offered in this bid or proposal, and the title of his or her position in the Offeror's organization);

(ii) As an authorized agent, does certify that the principals named in subdivision (b)(2)(i) above have not participated, and will not participate, in any action contrary to subparagraphs (a)(1) through (a)(3) above; and

(iii) As an agent, has not personally participated, and will not participate, in any action contrary to subparagraphs (a)(1) through (a)(3) above.

(c) If the Offeror deletes or modifies subparagraph (a)(2) above, the Offeror must furnish with its offer a signed statement setting forth in detail the circumstances of the disclosure.
{End of provision}

B. The following FAR provisions must be completed by ALL Offerors.

52.203-11 CERTIFICATION AND DISCLOSURE REGARDING PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS (SEPT 2007)

(a) **Definitions.** As used in this provision—“Lobbying contact” has the meaning provided at [2 U.S.C. 1602\(8\)](#). The terms “agency,” “influencing or attempting to influence,” “officer or employee of an agency,” “person,” “reasonable compensation,” and “regularly employed” are defined in the FAR clause of this solicitation entitled “Limitation on Payments to Influence Certain Federal Transactions” ([52.203-12](#)).

(b) **Prohibition.** The prohibition and exceptions contained in the FAR clause of this solicitation entitled “Limitation on Payments to Influence Certain Federal Transactions” ([52.203-12](#)) are hereby incorporated by reference in this provision.

(c) **Certification.** The Offeror, by signing its offer, hereby certifies to the best of its knowledge and belief that no Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on its behalf in connection with the awarding of this contract.

(d) **Disclosure.** If any registrants under the Lobbying Disclosure Act of 1995 have made a lobbying contact on behalf of the Offeror with respect to this contract, the Offeror shall complete and submit, with its offer, OMB Standard Form LLL, Disclosure of Lobbying Activities, to provide the name of the registrants. The Offeror need not report regularly employed officers or employees of the Offeror to whom payments of reasonable compensation were made.

(e) **Penalty.** Submission of this certification and disclosure is a prerequisite for making or entering into this contract imposed by [31 U.S.C. 1352](#). Any person who makes an expenditure prohibited under this provision or who fails to file or amend the disclosure required to be filed or amended by this provision, shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure. (End of provision)

52.204-3 TAXPAYER IDENTIFICATION (OCT 1998)

(a) Definitions.

Common parent, as used in this provision, means that corporate entity that owns or controls an affiliated group of corporations that files its Federal income tax returns on a consolidated basis, and of which the Offeror is a member.

Taxpayer Identification Number (TIN), as used in this provision, means the number required by the Internal Revenue Service (IRS) to be used by the Offeror in reporting income tax and other returns. The TIN may be either a Social Security Number or an Employer Identification Number.

(b) All Offerors must submit the information required in paragraphs (d) through (f) of this provision to comply with debt collection requirements of 31 U.S.C.7701(c) and 3325(d), reporting requirements of 26 U.S.C.6041, 6041A, and 6050M, and implementing regulations issued by the IRS. If the resulting contract is subject to the payment reporting requirements described in Federal Acquisition Regulation (FAR) 4.904, the failure or refusal by the Offeror to furnish the information may result in a 31 percent reduction of payments otherwise due under the contract.

(c) The TIN may be used by the Government to collect and report on any delinquent amounts arising out of the Offeror's relationship with the Government (31 U.S.C.7701(c)(3)). If the resulting contract is subject to the

payment reporting requirements described in FAR 4.904, the TIN provided hereunder may be matched with IRS records to verify the accuracy of the Offeror's TIN.

(d) Taxpayer Identification Number (TIN).

- ☐ TIN: _____
- ☐ TIN has been applied for.
- ☐ TIN is not required because:
- ☐ Offeror is a nonresident alien, foreign corporation, or foreign partnership that does not have income effectively connected with the conduct of a trade or business in the United States and does not have an office or place of business or a fiscal paying agent in the United States;
- ☐ Offeror is an agency or instrumentality of a foreign government;
- ☐ Offeror is an agency or instrumentality of the Federal Government.

(e) Type of organization.

- ☐ Sole proprietorship;
- ☐ Partnership;
- ☐ Corporate entity (not tax-exempt);
- ☐ Corporate entity (tax-exempt);
- ☐ Government entity (Federal, State, or local);
- ☐ Foreign government;
- ☐ International organization per 26 CFR 1.6049-4;
- ☐ Other _____

(f) Common parent.

- ☐ Offeror is not owned or controlled by a common parent as defined in paragraph (a) of this provision.
- ☐ Name and TIN of common parent:

Name _____

TIN _____

{End of provision}

52.204-5 WOMEN-OWNED BUSINESS (OTHER THAN SMALL BUSINESS) (MAY 1999)

(a) Definition. Women-owned business concern, as used in this provision, means a concern that is at least 51 percent owned by one or more women; or in the case of any publicly owned business, at least 51 percent of its stock is owned by one or more women; and whose management and daily business operations are controlled by one or more women.

(b) Representation. [Complete only if the Offeror is a women-owned business concern and has not represented itself as a small business concern in paragraph (b)(1) of FAR 52.219-1, Small Business Program Representations, of this solicitation.] The Offeror represents that it ☐ is a women-owned business concern.
{End of Provision}

52.204-6 DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER (APR 2008)

(a) The Offeror shall enter, in the block with its name and address on the cover page of its offer, the annotation "DUNS" or "DUNS+4" followed by the DUNS number or "DUNS+4" that identifies the Offeror's name and

address exactly as stated in the offer. The DUNS number is a nine-digit number assigned by Dun and Bradstreet, Inc. The DUNS+4 is the DUNS number plus a 4-character suffix that may be assigned at the discretion of the Offeror to establish additional CCR records for identifying alternative Electronic Funds Transfer (EFT) accounts (see Subpart 32.11) for the same concern.

(b) If the Offeror does not have a DUNS number, it should contact Dun and Bradstreet directly to obtain one.

(1) An Offeror may obtain a DUNS number—

(i) Via the Internet at <http://fedgov.dnb.com/webform> or if the Offeror does not have internet access, it may call Dun and Bradstreet at 1-866-705-5711 if located within the United States; or

(ii) If located outside the United States, by contacting the local Dun and Bradstreet office. The Offeror should indicate that it is an Offeror for a U.S. Government contract when contacting the local Dun and Bradstreet office.

(2) The Offeror should be prepared to provide the following information:

(i) Company legal business name.

(ii) Tradestyle, doing business, or other name by which your entity is commonly recognized.

(iii) Company physical street address, city, state and ZIP Code.

(iv) Company mailing address, city, state and ZIP Code (if separate from physical).

(v) Company telephone number.

(vi) Date the company was started.

(vii) Number of employees at your location.

(viii) Chief executive officer/key manager.

(ix) Line of business (industry).

(x) Company Headquarters name and address (reporting relationship within your entity).

(End of provision)

52.209-5

CERTIFICATION REGARDING RESPONSIBILITY MATTERS (APR 2010)

(a)(1) The Offeror certifies, to the best of its knowledge and belief, that—

(i) The Offeror and/or any of its Principals—

(A) Are o are not o presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal agency;

(B) Have o have not o, within a three-year period preceding this offer, been convicted of or had a civil judgment rendered against them for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) contract or subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, violating Federal criminal tax laws, or receiving stolen property (if Offeror checks “have”, the Offeror shall also see [52.209-7](#), if included in this solicitation);

(C) Are o are not o presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in paragraph (a)(1)(i)(B) of this provision;

(D) Have o, have not o, within a three-year period preceding this offer, been notified of any delinquent Federal taxes in an amount that exceeds \$3,000 for which the liability remains unsatisfied.

(1) Federal taxes are considered delinquent if both of the following criteria apply:

(i) **The tax liability is finally determined.** The liability is finally determined if it has been assessed. A liability is not finally determined if there is a pending administrative or judicial challenge. In the case of a judicial challenge to the liability, the liability is not finally determined until all judicial appeal rights have been exhausted.

(ii) **The taxpayer is delinquent in making payment.** A taxpayer is delinquent if the taxpayer has failed to pay the tax liability when full payment was due and required. A taxpayer is not delinquent in cases where enforced collection action is precluded.

(2) Examples.

(i) The taxpayer has received a statutory notice of deficiency, under I.R.C. § 6212, which entitles the taxpayer to seek Tax Court review of a proposed tax deficiency. This is not a delinquent tax because it is not a final tax liability. Should the taxpayer seek Tax Court review, this will not be a final tax liability until the taxpayer has exercised all judicial appeal rights.

(ii) The IRS has filed a notice of Federal tax lien with respect to an assessed tax liability, and the taxpayer has been issued a notice under I.R.C. § 6320 entitling the taxpayer to request a hearing with the IRS Office of Appeals contesting the lien filing, and to further appeal to the Tax Court if the IRS determines to sustain the lien filing. In the course of the hearing, the taxpayer is entitled to contest the underlying tax liability because the taxpayer has had no prior opportunity to contest the liability. This is not a delinquent tax because it is not a final tax liability. Should the taxpayer seek tax court review, this will not be a final tax liability until the taxpayer has exercised all judicial appeal rights.

(iii) The taxpayer has entered into an installment agreement pursuant to I.R.C. § 6159. The taxpayer is making timely payments and is in full compliance with the agreement terms. The taxpayer is not delinquent because the taxpayer is not currently required to make full payment.

(iv) The taxpayer has filed for bankruptcy protection. The taxpayer is not delinquent because enforced collection action is stayed under 11 U.S.C. 362 (the Bankruptcy Code).

(ii) The Offeror has or has not, within a three-year period preceding this offer, had one or more contracts terminated for default by any Federal agency.

(2) "Principal," for the purposes of this certification, means an officer, director, owner, partner, or a person having primary management or supervisory responsibilities within a business entity (e.g., general manager; plant manager; head of a division or business segment; and similar positions).

This Certification Concerns a Matter Within the Jurisdiction of an Agency of the United States and the Making of a False, Fictitious, or Fraudulent Certification May Render the Maker Subject to Prosecution Under Section 1001, Title 18, United States Code.

(b) The Offeror shall provide immediate written notice to the Contracting Officer if, at any time prior to contract award, the Offeror learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

(c) A certification that any of the items in paragraph (a) of this provision exists will not necessarily result in withholding of an award under this solicitation. However, the certification will be considered in connection with a determination of the Offeror's responsibility. Failure of the Offeror to furnish a certification or provide such additional information as requested by the Contracting Officer may render the Offeror nonresponsible.

(d) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by paragraph (a) of this provision. The knowledge and information of an Offeror is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

(e) The certification in paragraph (a) of this provision is a material representation of fact upon which reliance was placed when making award. If it is later determined that the Offeror knowingly rendered an erroneous certification, in addition to other remedies available to the Government, the Contracting Officer may terminate the contract resulting from this solicitation for default.

(End of provision)

52.215-6 PLACE OF PERFORMANCE (OCT 1997)

(a) The Offeror or respondent, in the performance of any contract resulting from this solicitation, ☐ intends, ☐ does not intend [check applicable block] to use one or more plants or facilities located at a different address from the address of the Offeror or respondent as indicated in this proposal or response to request for information.

(b) If the Offeror or respondent checks "intends" in paragraph (a) of this provision, it shall insert in the following spaces the required information:

Place of performance (Street address, City,
County, State, Zip code)

Name and address of owner and operator of the
plant or facility if other than Offeror or quoter

{end of provision}

52.219-1 SMALL BUSINESS PROGRAM REPRESENTATIONS (APR 2012)

(a)(1) The North American Industry Classification System (NAICS) code for this acquisition is 541712.

(2) The small business size standard is 500 employees.

(3) The small business size standard for a concern which submits an offer in its own name, other than on a construction or service contract, but which proposes to furnish a product which it did not itself manufacture, is 500 employees.

(b) Representations.

(1) The offeror represents as part of its offer that it o is, o is not a small business concern.

(2) [Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.] The offeror represents, for general statistical purposes, that it o is, o is not, a small disadvantaged business concern as defined in 13 CFR 124.1002.

(3) [Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.] The offeror represents as part of its offer that it o is, o is not a women-owned small business concern.

(4) Women-owned small business (WOSB) concern eligible under the WOSB Program. [Complete only if the offeror represented itself as a women-owned small business concern in paragraph (b)(3) of this provision.] The offeror represents as part of its offer that—

(i) It o is, o is not a WOSB concern eligible under the WOSB Program, has provided all the required documents to the WOSB Repository, and no change in circumstances or adverse decisions have been issued that affects its eligibility; and

(ii) It o is, o not a joint venture that complies with the requirements of 13 CFR part 127, and the representation in paragraph (b)(4)(i) of this provision is accurate for each WOSB concern eligible under the

WOSB Program participating in the joint venture. [*The offeror shall enter the name or names of the WOSB concern eligible under the WOSB Program and other small businesses that are participating in the joint venture: _____.*] Each WOSB concern eligible under the WOSB Program participating in the joint venture shall submit a separate signed copy of the WOSB representation.

(5) Economically disadvantaged women-owned small business (EDWOSB) concern. [*Complete only if the offeror represented itself as a women-owned small business concern eligible under the WOSB Program in (b)(4) of this provision.*] The offeror represents as part of its offer that—

(i) It o is, o is not an EDWOSB concern eligible under the WOSB Program, has provided all the required documents to the WOSB Repository, and no change in circumstances or adverse decisions have been issued that affects its eligibility; and

(ii) It o is, o is not a joint venture that complies with the requirements of 13 CFR part 127, and the representation in paragraph (b)(5)(i) of this provision is accurate for each EDWOSB concern participating in the joint venture. [*The offeror shall enter the name or names of the EDWOSB concern and other small businesses that are participating in the joint venture: _____.*] Each EDWOSB concern participating in the joint venture shall submit a separate signed copy of the EDWOSB representation.

(6) [*Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.*] The offeror represents as part of its offer that it o is, o is not a veteran-owned small business concern.

(7) [*Complete only if the offeror represented itself as a veteran-owned small business concern in paragraph (b)(6) of this provision.*] The offeror represents as part of its offer that it o is, o is not a service-disabled veteran-owned small business concern.

(8) [*Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.*] The offeror represents, as part of its offer, that—

(i) It o is, o is not a HUBZone small business concern listed, on the date of this representation, on the List of Qualified HUBZone Small Business Concerns maintained by the Small Business Administration, and no material changes in ownership and control, principal office, or HUBZone employee percentage have occurred since it was certified in accordance with 13 CFR Part 126; and

(ii) It o is, o is not a HUBZone joint venture that complies with the requirements of 13 CFR Part 126, and the representation in paragraph (b)(8)(i) of this provision is accurate for each HUBZone small business concern participating in the HUBZone joint venture. [*The offeror shall enter the names of each of the HUBZone small business concerns participating in the HUBZone joint venture: _____.*] Each HUBZone small business concern participating in the HUBZone joint venture shall submit a separate signed copy of the HUBZone representation.

(c) *Definitions.* As used in this provision—

“Economically disadvantaged women-owned small business (EDWOSB) concern” means a small business concern that is at least 51 percent directly and unconditionally owned by, and the management and daily business operations of which are controlled by, one or more women who are citizens of the United States and who are economically disadvantaged in accordance with 13 CFR part 127. It automatically qualifies as a women-owned small business concern eligible under the WOSB Program.

“Service-disabled veteran-owned small business concern”—

(1) Means a small business concern—

(i) Not less than 51 percent of which is owned by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; and

(ii) The management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a service-disabled veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran.

(2) “Service-disabled veteran” means a veteran, as defined in [38 U.S.C. 101\(2\)](#), with a disability that is service-connected, as defined in [38 U.S.C. 101\(16\)](#).

“Small business concern” means a concern, including its affiliates, which is independently owned and operated, not dominant in the field of operation in which it is bidding on Government contracts, and qualified as a small business under the criteria in 13 CFR Part 121 and the size standard in paragraph (a) of this provision.

“Veteran-owned small business concern” means a small business concern—

(1) Not less than 51 percent of which is owned by one or more veterans (as defined at [38 U.S.C. 101\(2\)](#)) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans; and

(2) The management and daily business operations of which are controlled by one or more veterans.

“Women-owned small business concern” means a small business concern—

(1) That is at least 51 percent owned by one or more women; or, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women; and

(2) Whose management and daily business operations are controlled by one or more women.

“Women-owned small business (WOSB) concern eligible under the WOSB Program” (in accordance with 13 CFR part 127), means a small business concern that is at least 51 percent directly and unconditionally owned by, and the management and daily business operations of which are controlled by, one or more women who are citizens of the United States.

(d) Notice.

(1) If this solicitation is for supplies and has been set aside, in whole or in part, for small business concerns, then the clause in this solicitation providing notice of the set-aside contains restrictions on the source of the end items to be furnished.

(2) Under [15 U.S.C. 645\(d\)](#), any person who misrepresents a firm’s status as a business concern that is small, HUBZone small, small disadvantaged, service-disabled veteran-owned small, economically disadvantaged women-owned small, or women-owned small eligible under the WOSB Program in order to obtain a contract to be awarded under the preference programs established pursuant to section 8, 9, 15, 31, and 36 of the Small Business Act or any other provision of Federal law that specifically references section 8(d) for a definition of program eligibility, shall—

(i) Be punished by imposition of fine, imprisonment, or both;

(ii) Be subject to administrative remedies, including suspension and debarment; and

(iii) Be ineligible for participation in programs conducted under the authority of the Act.

(End of provision)

52.222-22 PREVIOUS CONTRACTS AND COMPLIANCE REPORTS (FEB 1999)

The Offeror represents that –

(a) It ☐ has, ☐ has not participated in a previous contract or subcontract subject to the Equal Opportunity clause of this solicitation;

(b) It ☐ has, ☐ has not filed all required compliance reports; and

(c) Representations indicating submission of required compliance reports, signed by proposed subcontractors, will be obtained before subcontract awards.16.
{end of provision}

52.222-25 AFFIRMATIVE ACTION COMPLIANCE (APR 1984)

The Offeror represents that (a) it ☐ has developed and has on file, ☐ has not developed and does not have on file, at each establishment, affirmative action programs required by the rules and regulations of the Secretary of Labor (41 CFR 60-1 and 60-2), or (b) it ☐ has not previously had contracts subject to the written affirmative action programs requirement of the rules and regulations of the Secretary of Labor.
{end of provision}

52.226-2 HISTORICALLY BLACK COLLEGE OR UNIVERSITY AND MINORITY INSTITUTION REPRESENTATION (OCT 2008)

(a) **Definitions.** As used in this provision—

“Historically black college or university” means an institution determined by the Secretary of Education to meet the requirements of 34 CFR 608.2. For the Department of Defense, the National Aeronautics and Space Administration, and the Coast Guard, the term also includes any nonprofit research institution that was an integral part of such a college or university before November 14, 1986.

“Minority institution” means an institution of higher education meeting the requirements of Section 365(3) of the Higher Education Act of 1965 ([20 U.S.C. 1067k](#)), including a Hispanic-serving institution of higher education, as defined in Section 502(a) of the Act ([20 U.S.C. 1101a](#)).

(b) **Representation.** The Offeror represents that it—

- ___ is ___ is not a historically black college or university;
- ___ is ___ is not a minority institution.

(End of provision)

52.227-6 ROYALTY INFORMATION (APR 1984)

(a) *Cost or charges for royalties.* When the response to this solicitation contains costs or charges for royalties totaling more than \$250, the following information shall be included in the response relating to each separate item of royalty or license fee:

- (1) Name and address of licensor.
- (2) Date of license agreement.
- (3) Patent numbers, patent application serial numbers, or other basis on which the royalty is payable.
- (4) Brief description, including any part or model numbers of each contract item or component on which the royalty is payable.
- (5) Percentage or dollar rate of royalty per unit.
- (6) Unit price of contract item.
- (7) Number of units.
- (8) Total dollar amount of royalties.

(b) *Copies of current licenses.* In addition, if specifically requested by the Contracting Officer before execution of the contract, the Offeror shall furnish a copy of the current license agreement and an identification of applicable claims of specific patents.

{end of provision}

52.230-1 COST ACCOUNTING STANDARDS NOTICES AND CERTIFICATION (OCT 2008)

Note: This notice does not apply to small businesses or foreign governments. This notice is in three parts, identified by Roman numerals I through III.

Offerors shall examine each part and provide the requested information in order to determine Cost Accounting Standards (CAS) requirements applicable to any resultant contract.

If the Offeror is an educational institution, Part II does not apply unless the contemplated contract will be subject to full or modified CAS coverage pursuant to 48 CFR 9903.201-2(c)(5) or 9903.201-2(c)(6), respectively.

I. DISCLOSURE STATEMENT—COST ACCOUNTING PRACTICES AND CERTIFICATION

(a) Any contract in excess of \$650,000 resulting from this solicitation will be subject to the requirements of the Cost Accounting Standards Board (48 CFR Chapter 99), except for those contracts which are exempt as specified in 48 CFR 9903.201-1.

(b) Any Offeror submitting a proposal which, if accepted, will result in a contract subject to the requirements of 48 CFR Chapter 99 must, as a condition of contracting, submit a Disclosure Statement as required by 48 CFR 9903.202. When required, the Disclosure Statement must be submitted as a part of the Offeror's proposal under this solicitation unless the Offeror has already submitted a Disclosure Statement disclosing the practices used in connection with the pricing of this proposal. If an applicable Disclosure Statement has already been submitted, the Offeror may satisfy the requirement for submission by providing the information requested in paragraph (c) of Part I of this provision.

Caution: In the absence of specific regulations or agreement, a practice disclosed in a Disclosure Statement shall not, by virtue of such disclosure, be deemed to be a proper, approved, or agreed-to practice for pricing proposals or accumulating and reporting contract performance cost data.

(c) Check the appropriate box below:

☐ (1) *Certificate of Concurrent Submission of Disclosure Statement.* The Offeror hereby certifies that, as a part of the offer, copies of the Disclosure Statement have been submitted as follows:

- (i) Original and one copy to the cognizant Administrative Contracting Officer (ACO) or cognizant Federal agency official authorized to act in that capacity (Federal official), as applicable; and
- (ii) One copy to the cognizant Federal auditor.

(Disclosure must be on Form No. CASB DS-1 or CASB DS-2, as applicable. Forms may be obtained from the cognizant ACO or Federal official and/or from the loose-leaf version of the Federal Acquisition Regulation.)

Date of Disclosure Statement: _____

Name and Address of Cognizant ACO or Federal Official Where Filed:

The Offeror further certifies that the practices used in estimating costs in pricing this proposal are consistent with the cost accounting practices disclosed in the Disclosure Statement.

☐ (2) *Certificate of Previously Submitted Disclosure Statement.* The Offeror hereby certifies that the required Disclosure Statement was filed as follows:

Date of Disclosure Statement: _____

Name and Address of Cognizant ACO or Federal Official Where Filed:

The Offeror further certifies that the practices used in estimating costs in pricing this proposal are consistent with the cost accounting practices disclosed in the applicable Disclosure Statement.

☐ (3) *Certificate of Monetary Exemption.* The Offeror hereby certifies that the Offeror, together with all divisions, subsidiaries, and affiliates under common control, did not receive net awards of negotiated prime contracts and subcontracts subject to CAS totaling \$50 million or more in the cost accounting period immediately preceding the period in which this proposal was submitted. The Offeror further certifies that if such status changes before an award resulting from this proposal, the Offeror will advise the Contracting Officer immediately.

☐ (4) *Certificate of Interim Exemption.* The Offeror hereby certifies that (i) the Offeror first exceeded the monetary exemption for disclosure, as defined in (3) of this subsection, in the cost accounting period immediately preceding the period in which this offer was submitted and (ii) in accordance with 48 CFR 9903.202-1, the Offeror is not yet required to submit a Disclosure Statement. The Offeror further certifies that if an award resulting from this proposal has not been made within 90 days after the end of that period, the Offeror will immediately submit a revised certificate to the Contracting Officer, in the form specified under paragraph (c)(1) or (c)(2) of Part I of this provision, as appropriate, to verify submission of a completed Disclosure Statement.

Caution: Offerors currently required to disclose because they were awarded a CAS-covered prime contract or subcontract of \$50 million or more in the current cost accounting period may not claim this exemption (4). Further, the exemption applies only in connection with proposals submitted before expiration of the 90-day period following the cost accounting period in which the monetary exemption was exceeded.

II. COST ACCOUNTING STANDARDS—ELIGIBILITY FOR MODIFIED CONTRACT COVERAGE

If the Offeror is eligible to use the modified provisions of 48 CFR 9903.201-2(b) and elects to do so, the Offeror shall indicate by checking the box below. Checking the box below shall mean that the resultant contract is subject to the Disclosure and Consistency of Cost Accounting Practices clause in lieu of the Cost Accounting Standards clause.

☐ The Offeror hereby claims an exemption from the Cost Accounting Standards clause under the provisions of 48 CFR 9903.201-2(b) and certifies that the Offeror is eligible for use of the Disclosure and Consistency of Cost Accounting Practices clause because during the cost accounting period immediately preceding the period in which this proposal was submitted, the Offeror received less than \$50 million in awards of CAS-covered prime contracts and subcontracts. The Offeror further certifies that if such status changes before an award resulting from this proposal, the Offeror will advise the Contracting Officer immediately.

Caution: An Offeror may not claim the above eligibility for modified contract coverage if this proposal is expected to result in the award of a CAS-covered contract of \$50 million or more or if, during its current cost accounting period, the Offeror has been awarded a single CAS-covered prime contract or subcontract of \$50 million or more.

III. ADDITIONAL COST ACCOUNTING STANDARDS APPLICABLE TO EXISTING CONTRACTS

The Offeror shall indicate below whether award of the contemplated contract would, in accordance with paragraph (a)(3) of the Cost Accounting Standards clause, require a change in established cost accounting practices affecting existing contracts and subcontracts.

☐ Yes ☐ No

(End of provision)

Alternate I (Apr 1996). As prescribed in 30.201-3(b), add the following paragraph (c)(5) to Part I of the basic provision:

o (5) Certificate of Disclosure Statement Due Date by Educational Institution. If the Offeror is an educational institution that, under the transition provisions of 48 CFR 9903.202-1(f), is or will be required to submit a Disclosure Statement after receipt of this award, the Offeror hereby certifies that (check one and complete):

☐ (i) A Disclosure Statement Filing Due Date of _____ has been established with the cognizant Federal agency.

☐ (ii) The Disclosure Statement will be submitted within the 6-month period ending _____ months after receipt of this award.

Name and Address of Cognizant ACO or Federal Official Where Disclosure Statement is to be Filed:

